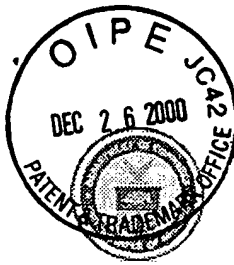


## FORMALITIES LETTER



\*OC000000005336386\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/603,390	06/23/2000	August Hochenberger	P/3331-132

2352  
OSTROLENK FABER GERB & SOFFEN  
1180 AVENUE OF THE AMERICAS  
NEW YORK, NY 100368403

Date Mailed: 08/18/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

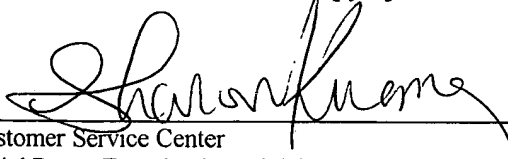
FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice MUST be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/28/2000 KZENDIE 00000039 09603390  
01 FC:105  
130.00 DP

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of  
August M. Hochenberger, et al.

New York, New York  
Date: December 22, 2000  
Group Art Unit: 2766  
Examiner: --



Serial No.: 09/603,390

Filed: June 23, 2000

For: CONVERSATIONAL DEALING IN AN ANONYMOUS TRADING SYSTEM

Asst. Commissioner for Patents  
Washington, D.C. 20231

Attention: Application Branch

RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION - FILING DATE GRANTED

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted, mailed August 18, 2000, submitted herewith are three Inventor Declarations, one from each inventor, and our Check No. 2657 which includes the amount of \$130.00 in payment of the surcharge. A copy of the Notice to File Missing Parts is enclosed herewith.

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account #15-0700.

If this communication is filed after the time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R. §1.136(a), to extend the time for filing a response by the number of months which will avoid abandonment under 37 C.F.R. §1.135. The fee under 37 C.F.R. § 1.17 should be charged to our Deposit Account No. 15-0700.

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on December 22, 2000:

Respectfully submitted,

\_\_\_\_\_  
William O. Gray, III  
Name of applicant, assignee or  
Registered Representative

\_\_\_\_\_  
Signature

\_\_\_\_\_  
December 22, 2000  
Date of Signature

\_\_\_\_\_  
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